

## New York State Senate Contract C-150038

THIS AGREEMENT made this 12<sup>th</sup> day of September, 2013 by and between THE NEW YORK STATE SENATE, Capitol, Albany, NY 12247 (hereinafter referred to as the "Senate") and Loeb & Loeb LLP, 345 Park Avenue, New York, NY 10154 (hereinafter referred to as the "Contractor").

WHEREAS, the Governor pursuant to Executive Order number 106 empanelled the Moreland Commission; and

WHEREAS, the Attorney General is specifically ordered by Executive Order 106 to advise and participant in the work of the Commission creating a conflict whereby the Attorney General may not represent the Senate; and

WHEREAS, counsel for the Senate will defend it as a separate body of the Legislative Branch and advise and guide the Senate, Senators and Committees in its ability to make legislative decisions as a matter of constitutional law and to further the ethical administration of government; and

WHEREAS, the Contractor has the skills and experience necessary to defend the Senate in court in this matter should the need arise; and

WHEREAS, the Contractor has expressed a desire to work with the Senate in such a capacity;

NOW, THEREFORE, in consideration of the mutual covenants and conditions contained herein, the parties hereby agree as follows:

- (A) The Senate does hereby employ, engage and hire the Contractor, and the Contractor does hereby accept and agree to provide the services specified in this contract to the Senate during the period of September 12, 2013 to December 31, 2014.
- (B) The performance of this contract shall be in accordance with the terms and conditions specified as follows:
  - (1). Represent the Senate as special counsel advising the Independent Democratic Conference in formulating or amending legislation or policies related to campaign finance, the electoral process, lobbying, conflicts of interest and ethics of public officers, intended to restore the public trust and increase accountability in state government. As special counsel, advise the Independent Democratic Conference on investigations or inquiries related to the stated issues, and provide counsel if litigation should arise as a result.
  - (2). Participate in meetings, conferences and negotiations with internal Senate staff and outside parties, draft legislation and supporting memoranda and produce additional written material,

such as advisory legal opinions, or white papers as necessary.

(3). All terms and conditions of this agreement will be personally handled by Jay K. Musoff for the contractor and he shall be responsible for such additional attorneys and staff whose assistance may be required.

(C) This contract shall also be governed by the provisions of "Appendix A: Standard Clauses for All New York State Contracts", which is attached hereto. Any conflict of terms and conditions between such Appendix A and the terms and conditions of this Agreement, shall be governed by the Appendix, which are made a part hereof with the same force and effect as though set forth herein in full.

(D) (1). In consideration of the foregoing, the Contractor shall receive as and for full payment for services rendered, compensation at the hourly rates specified in Appendix B.

(2). The Contractor shall also be reimbursed for expenses incurred in the hiring of any expert witness, investigator or consultant in connection with services rendered pursuant to this Agreement. The Contractor must have prior authorization from the Senate for such expenditures.

(3). The Contractor shall also be reimbursed for reasonable and necessary incidental costs incurred in connection with services rendered pursuant to this Agreement.

(4). The total value for legal services rendered pursuant to this Agreement, expert witness, investigator and consultant services, and incidental costs shall not exceed the sum of One Hundred and Fifty Thousand Dollars (\$150,000). All vouchers submitted must itemize by person/title and the days and hours for which the Contractor is billing. All charges for expert witness-consultant services and incidental costs shall also be appropriately itemized.

(5). The contractor shall also be reimbursed for reasonable and necessary travel expenses incurred in connection with services rendered pursuant to this Agreement. Travel expenses shall be billed to the Senate by the Contractor and the Contractor shall be compensated only to the extent the Contractor performs services pursuant to this Agreement and time of travel without rendition of services shall not be reimbursed. Such travel expenses shall not exceed the guidelines established in the rule and regulations of the New York State Comptroller. For this purpose the Contractor's duty station shall be New York City.

(E) Payments shall be made upon the Contractor's monthly submission to the Senate of properly executed vouchers in such form and with such supporting documentation as may be required by the State Comptroller, who shall have the right to audit the services, costs and expenses as submitted.

(F) (1). The Contractor will maintain accurate records and accounts of services performed and moneys expended under this Agreement and shall furnish or make available any estimate, expenditures, or report, as requested by the State Comptroller, or as may be necessary for auditing purposes or to verify that expenditures were made only for the purpose authorized by this Agreement. Such records and accounts and all supportive documentation shall be kept for at least six (6) years subsequent to the date of final payment hereunder, or until a final audit has been made by the Department of Audit and Control, whichever event shall occur

sooner.

(2). The Contractor shall not delegate any of the duties required to be performed under the terms of this Agreement unless prior approval has been granted by the Senate for such delegation.

(3). The relationship of the Contractor to the Senate shall be that of an independent contractor. In accordance with such status as an independent contractor, said Contractor, on behalf of itself, its agents and employees, covenants and agrees to act consistent with such status; to neither hold itself out as, nor claim to be, an officer or employee of the State of New York by reason hereof; and not to, by reason hereof, make any claim, demand, or application to or for any right or privilege applicable to an officer or employee of the State of New York, including, but not limited to, workers' compensation coverage, unemployment insurance benefits, social security coverage, or retirement system membership credit.

(4). The Contractor shall be responsible for all personal injury and property damage due to negligent acts, errors or omissions of the Contractor, its subcontractors, agents or employees, in the performance of its service under the contract. Further, it is expressly understood that the Contractor shall indemnify and save harmless the Senate from claims, suits, actions, damages and costs of every name and description resulting from the negligent performance of the services of the Contractor under the contract, and such indemnity shall not be limited by reasons of enumeration of any insurance coverage herein provided. Negligent performance of service, within the meaning of this Article, shall include, in addition to negligence founded upon tort, negligence based upon the Contractor's failure to meet professional standards and resulting in obvious or patent errors in the progression of its work. Nothing in the contract shall create or give to third parties any claim or right of action against the Contractor or the Senate beyond such as may legally exist irrespective of this Article or this Agreement.

(5). With respect to any contract or employment as an independent contractor or employee of the State of New York, or any New York public corporation as defined in Section Sixty-six of the New York State General Construction Law, or any agency or department of either, pursuant to the terms of any other present or future Agreement, express, implied, entered into with such entity, if any, the Contractor hereby covenants and represents that there is no conflict as to hours required to be worked or duties required to be performed pursuant to the terms of this Agreement and the aforesaid contract or employment.

(G) (1). The performance of work under the contract may be terminated, in whole or from time to time in part, by the Senate, in its sole discretion, whenever for any reason the Senate shall determine that such termination is in its best interest. Termination of work hereunder shall be effected by delivery to the Contractor of a Notice of Termination specifying the extent to which performance of work under the contract is terminated and the date upon which such termination becomes effective.

(2). The Secretary of the Senate also reserves the right to terminate this contract in the event it is found that the certification filed by the Contractor in accordance with New York State Finance Law §139-k was intentionally false or intentionally incomplete. Upon such finding, the Secretary of the Senate may exercise his termination right by providing notification to the Contractor in accordance with the notification terms of this contract.

(3).After receipt of the Notice of Termination, the Contractor shall exercise all reasonable diligence to accomplish the cancellation or diversion of its outstanding commitments covering personal services and extending beyond the date of such termination to the extent that they relate to the performance of any work terminated by the Notice.

(4). The Contractor shall submit its termination claim to the Senate promptly after receipt of a Notice of Termination, but in no event later than thirty days from the effective date thereof, unless one or more extensions in writing are granted by the Senate upon written request of the Contractor within the time allowed. Upon failure of the Contractor to submit its termination claim within the time allowed, the Senate may determine, on the basis of information available to it, the amount, if any, due to the Contractor by reason of termination and shall thereupon pay to the Contractor the amount so determined.

(5). If the termination is brought about as a result of unsatisfactory performance on the part of the Contractor, the value of the work performed by the Contractor prior to termination shall be established by the Senate.

(6). The Contractor agrees to transfer title to the Senate and deliver in the manner, at the time, and to the extent, if any, directed by the Senate, such information and items which, if the contract had been completed, would have been required to be furnished to the Senate .

- (H) This agreement may not be assigned by the Contractor nor its right, title or interest herein assigned, transferred, conveyed, disposed of or sublet.
- (I) This agreement shall be deemed executory only to the extent of money available to the Senate for the performance of the terms hereof and no liability on account thereof shall be incurred by the Senate or the State of New York beyond moneys available for the purpose thereof.
- (J) Anything herein contained to the contrary notwithstanding, it is expressly understood and agreed that the Contractor shall not have the right to make any contracts or commitments for or on behalf of the Senate or the State of New York.
- (K) Opinions prepared by consultant law firms construing the statutes or Constitution of the State of New York do not constitute the view of the State unless the prior written approval of the Attorney General is obtained. Requests for said approval shall be submitted to the Solicitor General, Division of the Appeals and Opinions Bureau, Department of Law, State Capitol, Albany, New York.
- (L) The retained attorney or law firm will represent the Senate in judicial litigation related to the services to be provided under this Agreement only when such services are specifically requested by the Senate's counsel.
- (M) This Agreement and performance hereunder and all actions hereunder shall be construed in accordance with and under and pursuant to the laws of the State of New York and that in any action that may be brought arising out of, in connection with, or by reason of this Agreement, the laws of the State of New York shall be applicable and govern to the exclusion of the law of any other forum, and any action against the State of New York or the Senate arising out of this contract shall be commenced in the Court of Claims of the

State of New York in the County of Albany.

- (N) All notices, demands, instructions, claims, approvals and disapprovals required to be given to either party hereto shall be deemed to have been given properly if sent by registered mail or overnight mail with signature required and addressed to the party at the addresses hereinbefore set forth or to such other address as either party shall have notified the other in writing to be the proper mailing address.
- (O) No waiver or modification of this Agreement or of any covenant, condition, or limitation herein contained shall be valid unless in writing and executed by the parties hereto and approved by the Office of the Attorney General and the Office of the State Comptroller and no evidence of any waiver or modification shall be offered or received in evidence in any action between the parties hereto arising out of or affecting this Agreement, or the rights or obligations of any party hereunder, unless such waiver or modification is in writing, duly executed as aforesaid, and the parties further agree that the provisions of this paragraph may not be waived except as herein set forth.
- (P) This written Agreement contains the sole and entire Agreement between the parties and shall supersede any and all other Agreements between the parties.
- (Q) The parties hereto shall execute such other and further documents as may be required to effectuate the terms of this Agreement.
- (R) The terms, clauses and provisions of this contract are intended to be severable, and the unconstitutionality, illegality or unconscionability of any term, clause or provision shall in no way effect the enforcement of any other term, clause or provision.
- (S) Iran Divestment Act - By entering into a renewal or extension of this Contract, Contractor certifies that it is not on the "Entities Determined To Be Non-Responsive Bidders/Offerers Pursuant to The New York State Iran Divestment Act of 2012" list ("Prohibited Entities List") posted on the OGS website at: <http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf> and further certifies that it will not utilize on such Contract any subcontractor that is identified on the Prohibited Entities List. Contractor agrees that should it seek to further renew or extend this Contract, it must provide the same certification at the time the Contract is renewed or extended. Contractor also agrees that any proposed Assignee of the Contract will be required to certify that it is not on the Prohibited Entities List before the New York State Senate may approve a request for Assignment of Contract.

During the term of the Contract, should the New York State Senate receive information that a person (as defined in State Finance Law §165-a) is in violation of the above-referenced certifications, the New York State Senate will review such information and offer the person an opportunity to respond. If the person fails to demonstrate that it has ceased its engagement in the investment activity which is in violation of the Act within 90 days after the determination of such violation, then the New York State Senate shall take such action as may be appropriate and provided for by law, rule, or contract, including, but not limited to, seeking compliance, recovering damages, or declaring the Contractor in default.

The New York State Senate reserves the right to reject any renewal, extension, or request for assignment for an entity that appears on the Prohibited Entities List hereafter and to pursue a responsibility review with respect to any entity that is granted a contract extension/renewal or assignment and appears on the Prohibited Entities List thereafter.

Agency Certification

"In addition to the acceptance of this contract, I also certify that original copies of this signature page will be attached to all other exact copies of this contract."

Procurement Lobbying Law Certification

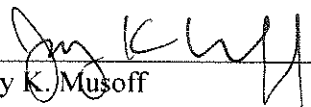
"By signing this contract, the contractor certifies that all information provided to the Senate with respect to State Finance Law § 139-k is complete, true and accurate.

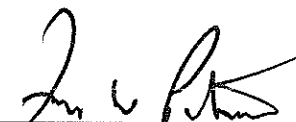
IN WITNESS WHEREOF the parties hereto have executed this Agreement as of the date first above written.

Contract Number: C-150038

Loeb & Loeb LLP

New York State Senate

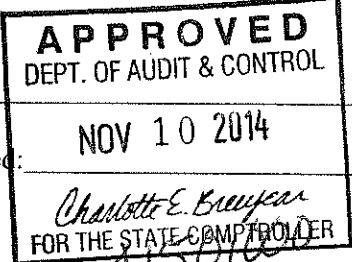
  
Jay K. Musoff  
Dated: 1/27/14

  
Francis W. Patience  
Secretary of the Senate  
Dated: 3/3/14

New York State Attorney General

Office of the New York State Comptroller

\_\_\_\_\_  
Dated: \_\_\_\_\_

  
Dated: \_\_\_\_\_

KAD 1/32

## ACKNOWLEDGMENT OF INDIVIDUAL

STATE OF NEW YORK  
COUNTY OF \_\_\_\_\_

SS:

On this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_, before me personally came \_\_\_\_\_, to me known  
(Name and Address)

and known to me to be the person described in and who executed the foregoing instrument, and he/she duly acknowledged to me that he/she executed the same.

\_\_\_\_\_  
Notary Public

## ACKNOWLEDGMENT OF PARTNERSHIP

STATE OF NEW YORK  
COUNTY OF NEW YORK

SS:

On this 29<sup>th</sup> day of January, 2014, before me personally came  
Jay K. Musoff,  
(Name and Address) 4

to me known and known to me to be a member of the Partnership of, Loeb & Loeb LLP  
(Partnership Name)

and the person described in and who executed the foregoing instrument in the name and on behalf of said partnership and he/she duly acknowledged to me that he/she executed the same as and for the act and deed of said partnership and that he/she had the authority to do so.

TIMOTHY B. CUMMINS  
Notary Public, State of New York  
No. 01CU6113096  
Qualified in New York County  
Commission Expires July 19, 2016

[Signature]  
Notary Public

## ACKNOWLEDGMENT OF CORPORATION

STATE OF NEW YORK  
COUNTY OF \_\_\_\_\_

SS:

On this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_, before me personally came \_\_\_\_\_, to me known, who, being by me duly sworn, did depose and say that he/she is the  
(Name and Address)

\_\_\_\_\_ of \_\_\_\_\_  
(Title)

\_\_\_\_\_, the corporation described in and which,  
(Name of Corporation)

executed the above instrument; that he/she knows the seal of said corporation; that the seal affixed to said instrument is such corporate seal; that it was so affixed by order of the Board of Directors of said corporation and that he/she signed his/her name thereto by like order.

\_\_\_\_\_  
Notary Public

**APPENDIX A**

**STANDARD CLAUSES FOR NEW YORK STATE CONTRACTS**

**PLEASE RETAIN THIS DOCUMENT  
FOR FUTURE REFERENCE.**

January 2014

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## **STANDARD CLAUSES FOR NYS CONTRACTS**

The parties to the attached contract, license, lease, amendment or other agreement of any kind (hereinafter, "the contract" or "this contract") agree to be bound by the following clauses which are hereby made a part of the contract (the word "Contractor" herein refers to any party other than the State, whether a contractor, licensor, licensee, lessor, lessee or any other party):

**1. EXECUTORY CLAUSE.** In accordance with Section 41 of the State Finance Law, the State shall have no liability under this contract to the Contractor or to anyone else beyond funds appropriated and available for this contract.

**2. NON-ASSIGNMENT CLAUSE.** In accordance with Section 138 of the State Finance Law, this contract may not be assigned by the Contractor or its right, title or interest therein assigned, transferred, conveyed, sublet or otherwise disposed of without the State's previous written consent, and attempts to do so are null and void. Notwithstanding the foregoing, such prior written consent of an assignment of a contract let pursuant to Article XI of the State Finance Law may be waived at the discretion of the contracting agency and with the concurrence of the State Comptroller where the original contract was subject to the State Comptroller's approval, where the assignment is due to a reorganization, merger or consolidation of the Contractor's business entity or enterprise. The State retains its right to approve an assignment and to require that any Contractor demonstrate its responsibility to do business with the State. The Contractor may, however, assign its right to receive payments without the State's prior written consent unless this contract concerns Certificates of Participation pursuant to Article 5-A of the State Finance Law.

**3. COMPTROLLER'S APPROVAL.** In accordance with Section 112 of the State Finance Law (or, if this contract is with the State University or City University of New York, Section 355 or Section 6218 of the Education Law), if this contract exceeds \$50,000 (or the minimum thresholds agreed to by the Office of the State Comptroller for certain S.U.N.Y. and C.U.N.Y. contracts), or if this is an amendment for any amount to a contract which, as so amended, exceeds said statutory amount, or if, by this contract, the State agrees to give something other than money when the value or reasonably estimated value of such consideration exceeds \$10,000, it shall not be valid, effective or binding upon the State until it has been approved by the State Comptroller and filed in his office. Comptroller's approval of contracts let by the Office of General Services is required when such contracts exceed \$85,000 (State Finance Law Section 163.6-a). However, such pre-approval shall not be required for any contract established as a centralized contract through the Office of General Services or for a purchase order or other transaction issued under such centralized contract.

**4. WORKERS' COMPENSATION BENEFITS.** In accordance with Section 142 of the State Finance Law, this

contract shall be void and of no force and effect unless the Contractor shall provide and maintain coverage during the life of this contract for the benefit of such employees as are required to be covered by the provisions of the Workers' Compensation Law.

**5. NON-DISCRIMINATION REQUIREMENTS.** To the extent required by Article 15 of the Executive Law (also known as the Human Rights Law) and all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor will not discriminate against any employee or applicant for employment because of race, creed, color, sex (including gender identity or expression), national origin, sexual orientation, military status, age, disability, predisposing genetic characteristics, marital status or domestic violence victim status. Furthermore, in accordance with Section 220-e of the Labor Law, if this is a contract for the construction, alteration or repair of any public building or public work or for the manufacture, sale or distribution of materials, equipment or supplies, and to the extent that this contract shall be performed within the State of New York, Contractor agrees that neither it nor its subcontractors shall, by reason of race, creed, color, disability, sex, or national origin: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. If this is a building service contract as defined in Section 230 of the Labor Law, then, in accordance with Section 239 thereof, Contractor agrees that neither it nor its subcontractors shall by reason of race, creed, color, national origin, age, sex or disability: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. Contractor is subject to fines of \$50.00 per person per day for any violation of Section 220-e or Section 239 as well as possible termination of this contract and forfeiture of all moneys due hereunder for a second or subsequent violation.

**6. WAGE AND HOURS PROVISIONS.** If this is a public work contract covered by Article 8 of the Labor Law or a building service contract covered by Article 9 thereof, neither Contractor's employees nor the employees of its subcontractors may be required or permitted to work more than the number of hours or days stated in said statutes, except as otherwise provided in the Labor Law and as set forth in prevailing wage and supplement schedules issued by the State Labor Department. Furthermore, Contractor and its subcontractors must pay at least the prevailing wage rate and pay or provide the prevailing supplements, including the premium rates for overtime pay, as determined by the State Labor Department in accordance with the Labor Law. Additionally, effective April 28, 2008, if this is a public work contract covered by Article 8 of the Labor Law, the Contractor understands and agrees that the filing of payrolls in a manner consistent with Subdivision 3-a of Section 220 of the Labor Law shall be a condition precedent to payment by the State of

any State approved sums due and owing for work done upon the project.

**7. NON-COLLUSIVE BIDDING CERTIFICATION.** In accordance with Section 139-d of the State Finance Law, if this contract was awarded based upon the submission of bids, Contractor affirms, under penalty of perjury, that its bid was arrived at independently and without collusion aimed at restricting competition. Contractor further affirms that, at the time Contractor submitted its bid, an authorized and responsible person executed and delivered to the State a non-collusive bidding certification on Contractor's behalf.

**8. INTERNATIONAL BOYCOTT PROHIBITION.** In accordance with Section 220-f of the Labor Law and Section 139-h of the State Finance Law, if this contract exceeds \$5,000, the Contractor agrees, as a material condition of the contract, that neither the Contractor nor any substantially owned or affiliated person, firm, partnership or corporation has participated, is participating, or shall participate in an international boycott in violation of the federal Export Administration Act of 1979 (50 USC App. Sections 2401 et seq.) or regulations thereunder. If such Contractor, or any of the aforesaid affiliates of Contractor, is convicted or is otherwise found to have violated said laws or regulations upon the final determination of the United States Commerce Department or any other appropriate agency of the United States subsequent to the contract's execution, such contract, amendment or modification thereto shall be rendered forfeit and void. The Contractor shall so notify the State Comptroller within five (5) business days of such conviction, determination or disposition of appeal (2NYCRR 105.4).

**9. SET-OFF RIGHTS.** The State shall have all of its common law, equitable and statutory rights of set-off. These rights shall include, but not be limited to, the State's option to withhold for the purposes of set-off any moneys due to the Contractor under this contract up to any amounts due and owing to the State with regard to this contract, any other contract with any State department or agency, including any contract for a term commencing prior to the term of this contract, plus any amounts due and owing to the State for any other reason including, without limitation, tax delinquencies, fee delinquencies or monetary penalties relative thereto. The State shall exercise its set-off rights in accordance with normal State practices including, in cases of set-off pursuant to an audit, the finalization of such audit by the State agency, its representatives, or the State Comptroller.

**10. RECORDS.** The Contractor shall establish and maintain complete and accurate books, records, documents, accounts and other evidence directly pertinent to performance under this contract (hereinafter, collectively, "the Records"). The Records must be kept for the balance of the calendar year in which they were made and for six (6) additional years thereafter. The State Comptroller, the Attorney General and any other person or entity authorized to conduct an examination, as well as the agency or agencies involved in this

contract, shall have access to the Records during normal business hours at an office of the Contractor within the State of New York or, if no such office is available, at a mutually agreeable and reasonable venue within the State, for the term specified above for the purposes of inspection, auditing and copying. The State shall take reasonable steps to protect from public disclosure any of the Records which are exempt from disclosure under Section 87 of the Public Officers Law (the "Statute") provided that: (i) the Contractor shall timely inform an appropriate State official, in writing, that said records should not be disclosed; and (ii) said records shall be sufficiently identified; and (iii) designation of said records as exempt under the Statute is reasonable. Nothing contained herein shall diminish, or in any way adversely affect, the State's right to discovery in any pending or future litigation.

**11. IDENTIFYING INFORMATION AND PRIVACY NOTIFICATION.**

(a) Identification Number(s). Every invoice or New York State Claim for Payment submitted to a New York State agency by a payee, for payment for the sale of goods or services or for transactions (e.g., leases, easements, licenses, etc.) related to real or personal property must include the payee's identification number. The number is any or all of the following: (i) the payee's Federal employer identification number, (ii) the payee's Federal social security number, and/or (iii) the payee's Vendor Identification Number assigned by the Statewide Financial System. Failure to include such number or numbers may delay payment. Where the payee does not have such number or numbers, the payee, on its invoice or Claim for Payment, must give the reason or reasons why the payee does not have such number or numbers.

(b) Privacy Notification. (1) The authority to request the above personal information from a seller of goods or services or a lessor of real or personal property, and the authority to maintain such information, is found in Section 5 of the State Tax Law. Disclosure of this information by the seller or lessor to the State is mandatory. The principal purpose for which the information is collected is to enable the State to identify individuals, businesses and others who have been delinquent in filing tax returns or may have understated their tax liabilities and to generally identify persons affected by the taxes administered by the Commissioner of Taxation and Finance. The information will be used for tax administration purposes and for any other purpose authorized by law. (2) The personal information is requested by the purchasing unit of the agency contracting to purchase the goods or services or lease the real or personal property covered by this contract or lease. The information is maintained in the Statewide Financial System by the Vendor Management Unit within the Bureau of State Expenditures, Office of the State Comptroller, 110 State Street, Albany, New York 12236.

**12. EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITIES AND WOMEN.**

In accordance with Section 312 of the Executive Law and 5 NYCRR 143, if this contract is: (i) a written agreement or purchase order instrument, providing for a total expenditure in excess of \$25,000.00,

whereby a contracting agency is committed to expend or does expend funds in return for labor, services, supplies, equipment, materials or any combination of the foregoing, to be performed for, or rendered or furnished to the contracting agency; or (ii) a written agreement in excess of \$100,000.00 whereby a contracting agency is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon; or (iii) a written agreement in excess of \$100,000.00 whereby the owner of a State assisted housing project is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon for such project, then the following shall apply and by signing this agreement the Contractor certifies and affirms that it is Contractor's equal employment opportunity policy that:

(a) The Contractor will not discriminate against employees or applicants for employment because of race, creed, color, national origin, sex, age, disability or marital status, shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force on State contracts and will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination. Affirmative action shall mean recruitment, employment, job assignment, promotion, upgrades, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation;

(b) at the request of the contracting agency, the Contractor shall request each employment agency, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union or representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of the Contractor's obligations herein; and

(c) the Contractor shall state, in all solicitations or advertisements for employees, that, in the performance of the State contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.

Contractor will include the provisions of "a", "b", and "c" above, in every subcontract over \$25,000.00 for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work") except where the Work is for the beneficial use of the Contractor. Section 312 does not apply to: (i) work, goods or services unrelated to this contract; or (ii) employment outside New York State. The State shall consider compliance by a contractor or subcontractor with the requirements of any federal law concerning equal employment

opportunity which effectuates the purpose of this section. The contracting agency shall determine whether the imposition of the requirements of the provisions hereof duplicate or conflict with any such federal law and if such duplication or conflict exists, the contracting agency shall waive the applicability of Section 312 to the extent of such duplication or conflict. Contractor will comply with all duly promulgated and lawful rules and regulations of the Department of Economic Development's Division of Minority and Women's Business Development pertaining hereto.

**13. CONFLICTING TERMS.** In the event of a conflict between the terms of the contract (including any and all attachments thereto and amendments thereof) and the terms of this Appendix A, the terms of this Appendix A shall control.

**14. GOVERNING LAW.** This contract shall be governed by the laws of the State of New York except where the Federal supremacy clause requires otherwise.

**15. LATE PAYMENT.** Timeliness of payment and any interest to be paid to Contractor for late payment shall be governed by Article 11-A of the State Finance Law to the extent required by law.

**16. NO ARBITRATION.** Disputes involving this contract, including the breach or alleged breach thereof, may not be submitted to binding arbitration (except where statutorily authorized), but must, instead, be heard in a court of competent jurisdiction of the State of New York.

**17. SERVICE OF PROCESS.** In addition to the methods of service allowed by the State Civil Practice Law & Rules ("CPLR"), Contractor hereby consents to service of process upon it by registered or certified mail, return receipt requested. Service hereunder shall be complete upon Contractor's actual receipt of process or upon the State's receipt of the return thereof by the United States Postal Service as refused or undeliverable. Contractor must promptly notify the State, in writing, of each and every change of address to which service of process can be made. Service by the State to the last known address shall be sufficient. Contractor will have thirty (30) calendar days after service hereunder is complete in which to respond.

**18. PROHIBITION ON PURCHASE OF TROPICAL HARDWOODS.** The Contractor certifies and warrants that all wood products to be used under this contract award will be in accordance with, but not limited to, the specifications and provisions of Section 165 of the State Finance Law, (Use of Tropical Hardwoods) which prohibits purchase and use of tropical hardwoods, unless specifically exempted, by the State or any governmental agency or political subdivision or public benefit corporation. Qualification for an exemption under this law will be the responsibility of the contractor to establish to meet with the approval of the State.

In addition, when any portion of this contract involving the use of woods, whether supply or installation, is to be performed by any subcontractor, the prime Contractor will indicate and certify in the submitted bid proposal that the subcontractor has been informed and is in compliance with specifications and provisions regarding use of tropical hardwoods as detailed in §165 State Finance Law. Any such use must meet with the approval of the State; otherwise, the bid may not be considered responsive. Under bidder certifications, proof of qualification for exemption will be the responsibility of the Contractor to meet with the approval of the State.

**19. MACBRIDE FAIR EMPLOYMENT PRINCIPLES.**

In accordance with the MacBride Fair Employment Principles (Chapter 807 of the Laws of 1992), the Contractor hereby stipulates that the Contractor either (a) has no business operations in Northern Ireland, or (b) shall take lawful steps in good faith to conduct any business operations in Northern Ireland in accordance with the MacBride Fair Employment Principles (as described in Section 165 of the New York State Finance Law), and shall permit independent monitoring of compliance with such principles.

**20. OMNIBUS PROCUREMENT ACT OF 1992.** It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority and women-owned business enterprises as bidders, subcontractors and suppliers on its procurement contracts.

Information on the availability of New York State subcontractors and suppliers is available from:

NYS Department of Economic Development  
Division for Small Business  
Albany, New York 12245  
Telephone: 518-292-5100  
Fax: 518-292-5884  
email: [opa@esd.ny.gov](mailto:opa@esd.ny.gov)

A directory of certified minority and women-owned business enterprises is available from:

NYS Department of Economic Development  
Division of Minority and Women's Business Development  
633 Third Avenue  
New York, NY 10017  
212-803-2414  
email: [mwbccertification@esd.ny.gov](mailto:mwbccertification@esd.ny.gov)  
<https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp>

The Omnibus Procurement Act of 1992 requires that by signing this bid proposal or contract, as applicable, Contractors certify that whenever the total bid amount is greater than \$1 million:

(a) The Contractor has made reasonable efforts to encourage the participation of New York State Business Enterprises as suppliers and subcontractors, including certified minority and women-owned business enterprises, on this project, and has retained the documentation of these efforts to be provided upon request to the State;

(b) The Contractor has complied with the Federal Equal Opportunity Act of 1972 (P.L. 92-261), as amended;

(c) The Contractor agrees to make reasonable efforts to provide notification to New York State residents of employment opportunities on this project through listing any such positions with the Job Service Division of the New York State Department of Labor, or providing such notification in such manner as is consistent with existing collective bargaining contracts or agreements. The Contractor agrees to document these efforts and to provide said documentation to the State upon request; and

(d) The Contractor acknowledges notice that the State may seek to obtain offset credits from foreign countries as a result of this contract and agrees to cooperate with the State in these efforts.

**21. RECIPROCITY AND SANCTIONS PROVISIONS.**

Bidders are hereby notified that if their principal place of business is located in a country, nation, province, state or political subdivision that penalizes New York State vendors, and if the goods or services they offer will be substantially produced or performed outside New York State, the Omnibus Procurement Act 1994 and 2000 amendments (Chapter 684 and Chapter 383, respectively) require that they be denied contracts which they would otherwise obtain. NOTE: As of May 15, 2002, the list of discriminatory jurisdictions subject to this provision includes the states of South Carolina, Alaska, West Virginia, Wyoming, Louisiana and Hawaii. Contact NYS Department of Economic Development for a current list of jurisdictions subject to this provision.

**22. COMPLIANCE WITH NEW YORK STATE INFORMATION SECURITY BREACH AND NOTIFICATION ACT.**

Contractor shall comply with the provisions of the New York State Information Security Breach and Notification Act (General Business Law Section 899-aa; State Technology Law Section 208).

**23. COMPLIANCE WITH CONSULTANT DISCLOSURE LAW.**

If this is a contract for consulting services, defined for purposes of this requirement to include analysis, evaluation, research, training, data processing, computer programming, engineering, environmental, health, and mental health services, accounting, auditing, paralegal, legal or similar services, then, in accordance with Section 163 (4-g) of the State Finance Law (as amended by Chapter 10 of the Laws of 2006), the Contractor shall timely, accurately and properly comply with the requirement to submit an annual employment report for the contract to the agency that awarded

the contract, the Department of Civil Service and the State Comptroller.

**24. PROCUREMENT LOBBYING.** To the extent this agreement is a "procurement contract" as defined by State Finance Law Sections 139-j and 139-k, by signing this agreement the contractor certifies and affirms that all disclosures made in accordance with State Finance Law Sections 139-j and 139-k are complete, true and accurate. In the event such certification is found to be intentionally false or intentionally incomplete, the State may terminate the agreement by providing written notification to the Contractor in accordance with the terms of the agreement.

**25. CERTIFICATION OF REGISTRATION TO COLLECT SALES AND COMPENSATING USE TAX BY CERTAIN STATE CONTRACTORS, AFFILIATES AND SUBCONTRACTORS.**

To the extent this agreement is a contract as defined by Tax Law Section 5-a, if the contractor fails to make the certification required by Tax Law Section 5-a or if during the term of the contract, the Department of Taxation and Finance or the covered agency, as defined by Tax Law 5-a, discovers that the certification, made under penalty of perjury, is false, then such failure to file or false certification shall be a material breach of this contract and this contract may be terminated, by providing written notification to the Contractor in accordance with the terms of the agreement, if the covered agency determines that such action is in the best interest of the State.

**26. IRAN DIVESTMENT ACT.** By entering into this Agreement, Contractor certifies in accordance with State Finance Law §165-a that it is not on the "Entities Determined to be Non-Responsive Bidders/Offerers pursuant to the New York State Iran Divestment Act of 2012" ("Prohibited Entities List") posted at:  
<http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf>

Contractor further certifies that it will not utilize on this Contract any subcontractor that is identified on the Prohibited Entities List. Contractor agrees that should it seek to renew or extend this Contract, it must provide the same certification at the time the Contract is renewed or extended. Contractor also agrees that any proposed Assignee of this Contract will be required to certify that it is not on the Prohibited Entities List before the contract assignment will be approved by the State.

During the term of the Contract, should the state agency receive information that a person (as defined in State Finance Law §165-a) is in violation of the above-referenced certifications, the state agency will review such information and offer the person an opportunity to respond. If the person fails to demonstrate that it has ceased its engagement in the investment activity which is in violation of the Act within 90 days after the determination of such violation, then the state agency shall take such action as may be appropriate and provided for by law, rule, or contract, including, but not

limited to, imposing sanctions, seeking compliance, recovering damages, or declaring the Contractor in default.

The state agency reserves the right to reject any bid, request for assignment, renewal or extension for an entity that appears on the Prohibited Entities List prior to the award, assignment, renewal or extension of a contract, and to pursue a responsibility review with respect to any entity that is awarded a contract and appears on the Prohibited Entities list after contract award.

## Appendix B

### FEE SCHEDULE

The rate for Partners, Associate Attorneys, Paralegals,  
and Support Staff shall be billed hourly at a rate of \$375.00

**New York State Senate Contract  
C-150038  
Amendment #1  
October 3, 2014**

Contract C-150038 entered into September 12, 2013 between Loeb & Loeb and the New York State Senate for outside legal counsel is amended as follows.

**Section (O) is amended as follows:**

- (O) No waiver or modification of this Agreement or of any covenant, condition, or limitation herein contained shall be valid unless in writing and executed by the parties hereto and approved by the Office of the State Comptroller and no evidence of any waiver or modification shall be offered or received in evidence in any action between the parties hereto arising out of or affecting this Agreement, or the rights or obligations of any party hereunder, unless such waiver or modification is in writing, duly executed as aforesaid, and the parties further agree that the provisions of this paragraph may not be waived except as herein set forth.

**Appendix B is amended as follows:**

**FEE SCHEDULE**

The hourly rate shall be billed as follows:

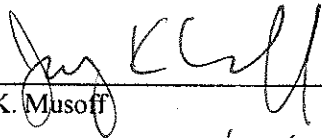
Partners and Associate Attorneys	\$395.00
Paralegals and Support Staff	A rate not to exceed \$190.00

IN WITNESS WHEREOF the parties hereto have executed this Amendment #1 as of the date first above written.

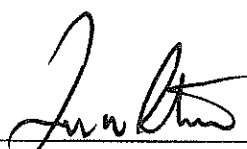
Contract Number: C-150038

Loeb & Loeb LLP

New York State Senate

  
Jay K. Musoff

Dated: 10/14/14

  
Francis W. Patience

Secretary of the Senate

Dated: 10/21/14

New York State Attorney General

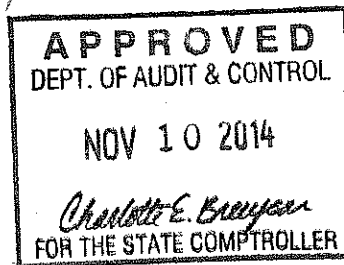
Office of the New York State Comptroller

Dated: \_\_\_\_\_

  
Dated: \_\_\_\_\_

\$150,000

KAA/jz



## ACKNOWLEDGMENT OF INDIVIDUAL

STATE OF NEW YORK  
COUNTY OF

SS:

On this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, before me personally came \_\_\_\_\_, to me known

(Name and Address)

and known to me to be the person described in and who executed the foregoing instrument, and he/she duly acknowledged to me that he/she executed the same.

\_\_\_\_\_  
Notary Public

## ACKNOWLEDGMENT OF PARTNERSHIP

STATE OF NEW YORK  
COUNTY OF New York

SS:

On this 14th day of October, 2014, before me personally came Day Muro, to me known

(Name and Address)

and known to me to be a member of the Partnership of, \_\_\_\_\_

Lois & Lois LLP

(Partnership Name)

and the person described in and who executed the foregoing instrument in the name and on behalf of said partnership and he/she duly acknowledged to me that he/she executed the same as and for the act and deed of said partnership and that he/she had the authority to do so.

\_\_\_\_\_  
Notary Public

## ACKNOWLEDGMENT OF CORPORATION

STATE OF NEW YORK  
COUNTY OF

SS:

On this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, before me personally came \_\_\_\_\_,

(Name and Address)

to me known, who, being by me duly sworn, did depose and say that he/she is the \_\_\_\_\_ of \_\_\_\_\_

(Title)

\_\_\_\_\_, the corporation described in and which,

(Name of Corporation)

executed the above instrument; that he/she knows the seal of said corporation; that the seal affixed to said instrument is such corporate seal; that it was so affixed by order of the Board of Directors of said corporation and that he/she signed his/her name thereto by like order.

\_\_\_\_\_  
Notary Public

TIMOTHY B. CUMMINS  
Notary Public, State of New York  
No. 01CU6113096  
Qualified in New York County  
Commission Expires July 19, 2016

**OFFICE OF THE STATE COMPTROLLER  
BUREAU OF CONTRACTS  
GOVERNMENTAL ENTITY REPRESENTATION CONCERNING COMPLIANCE  
WITH STATE FINANCE LAW §§139-j AND 139-k**

Agency Code: 04000

Agency/Authority Name: New York State Senate

Contractor Name: Loeb & Loeb

Contract No. or P.O. No.: C-150038

Amendment No.: \_\_\_\_\_

Batch No.: \_\_\_\_\_

I am a duly authorized representative of the above governmental entity. To the best of my knowledge, information and belief, pursuant to the requirements of State Finance Law (SFL) §§139-j and 139-k, the governmental entity for this procurement has:

- Issued and complied with its policies and procedures with respect to permissible contacts and any determinations made for violations thereof and has included such policies and procedures as part of the solicitation/bid documents;
- Issued policies and procedures in connection with the recording of all “contacts” received during the “restricted period” as those terms are defined under SFL §§ 139-j and 139-k, and is not aware of any “contacts” that were not recorded as required and included in the procurement record submitted to OSC;
- Received from all offerers the required (i) disclosure regarding prior findings of non-responsibility for violations of SFL §§ 139-j or 139-k; (ii) written affirmation of understanding and agreement to comply with the governmental entity’s policies and procedures relating to permissible contacts;
- If any offerers have disclosed a prior finding of non-responsibility for violations of §§ 139-j or 139-k, I have noted them below:
- Received from the winning vendor a certification as to the completeness, truth and accuracy of all information provided to the governmental entity and included such documentation in the procurement record submitted to OSC;
- Included in the contract a provision authorizing termination if the certification referenced above is found to be intentionally false or intentionally incomplete;
- Reviewed the New York State Office of General Services published list of non-responsible and debarred vendors for violations of SFL §§139-j and 139-k and considered such information in its determination of responsibility of the proposed vendor;
- Except as otherwise indicated, found no knowing and willful violations of the

requirements regarding permissible contacts or other provisions of SFL §§139-j or 139-k;

- If applicable, documented in the procurement record submitted to OSC (i) the basis for finding the proposed vendor in this procurement non-responsible for violations of SFL §§139-j or 139-k; (ii) the due process afforded such vendor; and (iii) that such finding was reported to OGS, as required;

Based upon the above information and representations, the governmental entity has determined, for purposes of SFL §§139-j and 139-k only that the proposed vendor for the above identified governmental procurement is:

☒ Responsible

☐ Non-responsible

*(This responsibility determination by the governmental entity must also be reported on the Vendor Responsibility Profile, if one is required for this transaction.)*

- If applicable, documented in the procurement record submitted to OSC the basis for awarding a contract to the proposed vendor notwithstanding the governmental entity's determination that the proposed vendor is non-responsible for violations of SFL §§ 139-j or 139-k.
- Documented in the procurement record submitted to OSC (i) the basis for finding any other offerer in this procurement non-responsible for violations of SFL §§139-j or 139-k; (ii) the due process afforded such offerer; and (iii) that such finding was reported to OGS, as required.

Name(s) and Federal Identification number(s) of such Offerer(s)

8/12/14

Date:



Authorized Signatory

Name: Harry L. Zieber Procurement Officer  
(printed or typed) Title

Direct Telephone Number (including area code): (518)426-6515

E-mail Address: zieber@senate.state.ny.us

Mailing Address: Purchasing Office  
Legislative Office Building  
Suite 1530  
Albany, NY 12247

**NEW YORK STATE SENATE  
PURCHASING OFFICE**

**Offerer's Affirmation of Understanding of and Agreement pursuant to  
State Finance Law §139-j (3) and §139-j (6) (b)  
(See reverse side for Background and Instructions)**

**This form must be completed by any Offerer/Bidder which intends to  
participate in the procurement process specified below and returned to the Senate  
Purchasing Office at the following address upon receipt of the solicitation package.**

**NYS Senate Purchasing Office  
Legislative Office Building  
Albany, NY 12247  
(Phone: 518-426-6515)**

Contract/Procurement Identifier: C-150038 Loeb & Loeb

**Offerer/Bidder Affirmation:**

Offerer/Bidder affirms that it understands and agrees to comply with the  
procedures of the New York State Senate relative to permissible Contacts as required by  
State Finance Law §139-j (3) and §139-j (6) (b) and as described in the New York State  
Senate's Guidelines for Implementing the Procurement Lobbying Law.

Signature: Scott Cotie

Date: 7/2/14

Print Name: SCOTT COTIE

Title: CHIEF FINANCIAL OFFICER

Offerer/Bidder Name: LOEB & LOEB LLP

Offerer/Bidder Address:

345 PARK AVENUE

NEW YORK, NY 10154-1895

**Background:**

State Finance Law §139-j(6)(b) provides that:

Every Governmental Entity shall seek written affirmations from all Offerer's as to the Offerer's understanding of and agreement to comply with the Governmental Entity's procedures relating to permissible contacts during a Governmental Procurement pursuant to subdivision three of this section.

**Instructions:**

The Senate must obtain the required affirmation of understanding and agreement to comply with procedures on procurement lobbying restrictions regarding permissible Contacts in the Restricted Period for a covered procurement in accordance with State Finance Law §§139-j and 139-k. This form will be sent out with the initial written solicitation to all prospective bidders. **It must be completed by any bidder which intends to participate in the specified procurement process and returned to the Senate Purchasing Office at the address indicated on the form upon receipt of the solicitation package.**

**NEW YORK STATE SENATE**  
**Offerer's Certification of Compliance with State Finance Law § 139-k (5)**

Contract/Procurement Identifier: C-150038 Loeb & Loeb

**Offerer Certification:**

*I certify that all information provided to the New York State Senate with respect to State Finance Law §139-k is complete, true and accurate.*

Signature: Scott Cotie Date: 7-2-14

Print Name: SCOTT COTIE

Title: CFO

Offerer/Bidder Name: LOEB & LOEB LLP

Offerer/Bidder Address: 345 PARK AVE  
NEW YORK NY 10154-1895

**Background:**

New York State Finance Law §139-k(5) requires that every Procurement Contract award subject to the provisions of State Finance Law §§139-k or 139-j shall contain a certification by the Offerer that all information provided to the New York State Senate with respect to State Finance Law §139-k is complete, true and accurate.

**Instructions:**

The New York State Senate must obtain the required certification from the Offerer/Bidder that the information is complete, true and accurate regarding any prior findings of non-responsibility, such as non-responsibility pursuant to State Finance Law §139-j. The Offerer/Bidder must agree to the certification and provide it to the New York State Senate. This form must be obtained prior to the signing of covered contracts, purchase orders or agreements, or as a form made a part of bids submitted pursuant to the release of a Request for Proposal or Invitation for Bids.

**NEW YORK STATE SENATE  
SENATE PURCHASING OFFICE**  
**Offerer's Disclosure of Prior Non-Responsibility Determinations**  
(See reverse side for Background and Instructions)

Contract/Procurement Identifier: C-150038  
Offerer/Bidder Name: Loeb & Loeb  
Address: 345 Park Avenue, New York, NY 10154

1. Has any Governmental Entity made a finding of non-responsibility regarding the individual or entity seeking to enter into the Procurement Contract in the previous four years? (Please circle):

No

Yes

If yes, please answer the next questions:

2. Was the basis for the finding of non-responsibility due to a violation of State Finance Law §139-j (Please circle):

No

Yes

3. Was the basis for the finding of non-responsibility due to the intentional provision of false or incomplete information to a Governmental Entity? (Please circle):

No

Yes

4. If you answered yes to any of the above questions, please provide details regarding the finding of non-responsibility below.

Governmental Entity: \_\_\_\_\_

Date of Finding of Non-responsibility: \_\_\_\_\_

Basis of Finding of Non-Responsibility: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

(Add additional pages as necessary)

5. Has any Governmental Entity or other governmental agency terminated or withheld a Procurement Contract with the individual or entity named in this form due to the intentional provision of false or incomplete information? (Please circle):

No

Yes

6. If yes, please provide details below.

Governmental Entity: \_\_\_\_\_

Date of Termination or Withholding of Contract: \_\_\_\_\_

Basis of Termination or Withholding: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

(Add additional pages as necessary)

Offerer certifies that all information provided to the New York State Senate with respect to State Finance Law §139-k is complete, true and accurate.

Signature: Scott Cotie Date: 7-2-14

Print Name/Title: SCOTT COTIE CFO

**Background:**

New York State Finance Law §139-k(2) obligates a Governmental Entity to obtain specific information regarding prior non-responsibility determinations with respect to State Finance Law §139-j. This information must be collected in addition to the information that is separately obtained pursuant to State Finance Law §163(9). In accordance with State Finance Law §139-k, an Offerer must be asked to disclose whether there has been a finding of non-responsibility made within the previous four (4) years by any Governmental Entity due to: (a) a violation of State Finance Law §139-j or (b) the intentional provision of false or incomplete information to a Governmental Entity. The terms "Offerer" and "Governmental Entity" are defined in State Finance Law § 139-k(1). State Finance Law §139-j sets forth detailed requirements about the restrictions on Contacts during the procurement process. A violation of State Finance Law §139-j includes, but is not limited to, an impermissible Contact during the restricted period (for example, contacting a person or entity other than the designated contact person, when such Contact does not fall within one of the exemptions).

As part of its responsibility determination, State Finance Law §139-k(3) mandates consideration of whether an Offerer fails to timely disclose accurate or complete information regarding the above non-responsibility determination. In accordance with law, no Procurement Contract shall be awarded to any Offerer that fails to timely disclose accurate or complete information under this section, unless a finding is made that the award of the Procurement Contract to the Offerer is necessary to protect public property or public health safety, and that the Offerer is the only source capable of supplying the required Article of Procurement within the necessary timeframe. See State Finance Law §§139-j (10)(b) and 139-k(3).

**Instructions:**

The attached form is to be completed by any vendor seeking to enter into a procurement contract with the Senate. It will be sent out with the initial written solicitation.

**It must be completed by any vendor which intends to participate in the specified procurement process and returned to the Senate Purchasing Office at the address below upon receipt of the solicitation package.**

**NYS Senate Purchasing Office  
Legislative Office Building  
Albany, NY 12247  
(Phone: 518-426-6515)**



New York State Department of Taxation and Finance

**Contractor Certification to Covered Agency**

(Pursuant to Section 5-a of the Tax Law, as amended, effective April 26, 2006)

**ST-220-CA**

(12/11)

For information, consult Publication 223, *Questions and Answers Concerning Tax Law Section 5-a* (see *Need Help?* on back).

Contractor name <b>Loeb &amp; Loeb LLP</b>				For covered agency use only Contract number or description <b>C150038</b>	
Contractor's principal place of business <b>345 Park Avenue</b>		City <b>New York</b>	State <b>NY</b>	ZIP code <b>10154</b>	
Contractor's mailing address (if different than above)					
Contractor's federal employer identification number (EIN)			Contractor's sales tax ID number (if different from contractor's EIN)		
Contractor's telephone number <b>212 407-4000</b>		Covered agency name <b>New York State Senate Purchasing Office</b>			
Covered agency address <b>Legislative Office Building, Albany, NY 12247</b>					Covered agency telephone number <b>518 426-6515</b>
Estimated contract value over the full term of contract (but not including renewals) <b>\$ 150,000.00</b>					

I, Scott Cotie, hereby affirm, under penalty of perjury, that I am CFO  
 (name) (title)

of the above-named contractor, that I am authorized to make this certification on behalf of such contractor, and I further certify that:

(Mark an X in only one box)

☒ The contractor has filed Form ST-220-TD with the Department of Taxation and Finance in connection with this contract and, to the best of contractor's knowledge, the information provided on the Form ST-220-TD, is correct and complete.

☐ The contractor has previously filed Form ST-220-TD with the Tax Department in connection with \_\_\_\_\_  
 (insert contract number or description)

and, to the best of the contractor's knowledge, the information provided on that previously filed Form ST-220-TD, is correct and complete as of the current date, and thus the contractor is not required to file a new Form ST-220-TD at this time.

Sworn to this 2nd day of July, 20 14

Scott Cotie  
 (sign before a notary public)

CFO

(title)

**Instructions****General information**

Tax Law section 5-a was amended, effective April 26, 2006. On or after that date, in all cases where a contract is subject to Tax Law section 5-a, a contractor must file (1) Form ST-220-CA, *Contractor Certification to Covered Agency*, with a covered agency, and (2) Form ST-220-TD with the Tax Department before a contract may take effect. The circumstances when a contract is subject to section 5-a are listed in Publication 223, Q&A 3. See *Need help?* for more information on how to obtain this publication. In addition, a contractor must file a new Form ST-220-CA with a covered agency before an existing contract with such agency may be renewed.

**Note:** Form ST-220-CA must be signed by a person authorized to make the certification on behalf of the contractor, and the acknowledgement on page 2 of this form must be completed before a notary public.

**When to complete this form**

As set forth in Publication 223, a contract is subject to section 5-a, and you must make the required certification(s), if:

- The procuring entity is a *covered agency* within the meaning of the statute (see Publication 223, Q&A 5);
- The contractor is a *contractor* within the meaning of the statute (see Publication 223, Q&A 6); and
- The contract is a *contract* within the meaning of the statute. This is the case when it (a) has a value in excess of \$100,000 and (b) is a contract for *commodities or services*, as such terms are defined for purposes of the statute (see Publication 223, Q&A 8 and 9).

Furthermore, the procuring entity must have begun the solicitation to purchase on or after January 1, 2005, and the resulting contract must have been awarded, amended, extended, renewed, or assigned on or after April 26, 2006 (the effective date of the section 5-a amendments).

# CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT

CIVIL CODE § 1189

State of California

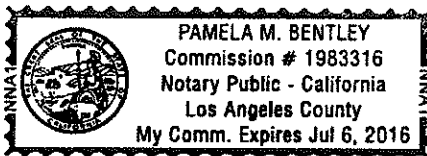
County of Los Angeles

On July 2, 2014 before me, Pamela M. Bentley, Notary Public

personally appeared

Scott H. Cotic  
Name(s) of Signer(s)

who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.



I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

Signature:

[Signature]  
Signature of Notary Public

Place Notary Seal Above

## OPTIONAL

Though the information below is not required by law, it may prove valuable to persons relying on the document and could prevent fraudulent removal and reattachment of this form to another document.

### Description of Attached Document

Title or Type of Document: Contract Certificate of Association

Document Date: 7/2/14 Number of Pages: one

Signer(s) Other Than Named Above: None

### Capacity(ies) Claimed by Signer(s)

Signer's Name: Scott H. Cotic

☒ Corporate Officer — Title(s): CFO

☐ Individual

☐ Partner — ☐ Limited ☐ General

☐ Attorney in Fact

☐ Trustee

☐ Guardian or Conservator

☐ Other: \_\_\_\_\_

Signer Is Representing: \_\_\_\_\_

RIGHT THUMBPRINT  
OF SIGNER  
Top of thumb here

Signer's Name: \_\_\_\_\_

☐ Corporate Officer — Title(s): \_\_\_\_\_

☐ Individual

☐ Partner — ☐ Limited ☐ General

☐ Attorney in Fact

☐ Trustee

☐ Guardian or Conservator

☐ Other: \_\_\_\_\_

Signer Is Representing: \_\_\_\_\_

RIGHT THUMBPRINT  
OF SIGNER  
Top of thumb here

OFFICE OF THE STATE COMPTROLLER - BUREAU OF CONTRACTS

VENDOR RESPONSIBILITY PROFILE

Agency code: 04000

Agency Name: New York State Senate

Batch No: \_\_\_\_\_

Purchase Order/Contract No.: C-150038

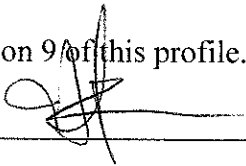
**Agency Responsibility Certification**

The New York State Senate has undertaken an affirmative review of the proposed contractor's responsibility in accordance with the standards outlined in Comptroller's Bulletin No. G-221, and based upon such review, has reasonable assurance that the proposed contractor is

Responsible / Non-Responsible] as indicated in question 9 of this profile.

8/12/14

Date



Authorizing Signature

Authorized Agency Officer: Harry L. Zieber  
Direct Phone Number: (518)426-6515

Title: Procurement Officer  
Email: Zieber@senate.state.ny.us

## RESPONSIBILITY QUESTIONNAIRE

### INSTRUCTIONS:

Please complete this form answering every question. A "Yes" answer to any question requires a written explanation attached to the questionnaire and submitted on company letterhead signed by an officer of the company.

All new mailing list applicants are required to complete this form at the time of application. Companies are responsible for updating information in their Responsibility Questionnaire as changes occur. Any vendor recommended for award on a New York State contract will be required to have this form on file prior to the award date.

### QUESTIONS:

Within the past five years, has your firm, any affiliate, any owner or officer or major stockholder (5% or more shares) or any person involved in the bidding or contracting process been the subject of any of the following:

- (a) a judgment or conviction for any business-related conduct constituting a crime under local, state or federal law including, but not limited to, fraud, extortion, bribery, racketeering, price-fixing, or bid collusion?  
\_\_\_\_\_ YES      X NO
- (b) a criminal investigation or indictment for any business-related conduct constituting a crime under local, state or federal law including, but not limited to, fraud, extortion, bribery, racketeering, price-fixing, or bid collusion?  
\_\_\_\_\_ YES      X NO
- (c) an unsatisfied judgment, injunction or lien obtained by a government agency including, but not limited to, judgments based on taxes owed and fines and penalties assessed by any government agency?  
\_\_\_\_\_ YES      X NO
- (d) an investigation for a civil violation by any local, state or federal agency?  
\_\_\_\_\_ YES      X NO
- (e) a grant of immunity for any business-related conduct constituting a crime under local, state or federal law including, but not limited to, fraud, extortion, bribery, racketeering, price-fixing, or bid collusion?  
\_\_\_\_\_ YES      X NO
- (f) a local, state, or federal suspension, debarment or termination from the contract process?  
\_\_\_\_\_ YES      X NO
- (g) a local, state or federal contract suspension or termination for cause prior to the completion of the term of a contract?  
\_\_\_\_\_ YES      X NO
- (h) a local, state, or federal denial of award for non-responsibility?  
\_\_\_\_\_ YES      X NO
- (i) an agreement to a voluntary exclusion from bidding/contracting?  
\_\_\_\_\_ YES      X NO
- (j) an administrative proceeding or civil action seeking specific performance or restitution in connection with any local, state or federal contract?  
\_\_\_\_\_ YES      X NO
- (k) a State Labor Law violation deemed willful?  
\_\_\_\_\_ YES      X NO
- (l) a firm-related bankruptcy proceeding?  
\_\_\_\_\_ YES      X NO
- (m) a sanction imposed as a result of judicial or administrative proceedings relative to any business or professional license?  
\_\_\_\_\_ YES      X NO
- (n) a denial, decertification, revocation or forfeiture of Women's Business Enterprise, Minority Business Enterprise or Disadvantaged Business Enterprise status?  
\_\_\_\_\_ YES      X NO
- (o) a rejection of a low bid on a local, state or federal contract for failure to meet statutory affirmative action or M/WBE requirements on a previously held contract?  
\_\_\_\_\_ YES      ✓ NO

- (p) a consent order with the New York State Department of Environmental Conservation, or a federal, state or local government enforcement determination involving a violation federal, state or local government laws?  
 \_\_\_\_\_ YES X NO
- (q) an occupational Safety and Health Act citation and Notification of Penalty containing a violation classified as serious or willful?  
 \_\_\_\_\_ YES X NO
- (r) a rejection of a bid on a New York State contract for failure to comply with the MacBride Fair Employment Principles?  
 \_\_\_\_\_ YES X NO
- (s) a citation, notice, violation order, pending administrative hearing or proceeding or determination for violations of:
- federal, state or local health laws, rules or regulations
  - unemployment insurance or workers' compensation coverage or claim requirements
  - ERISA (Employee Retirement Income Security Act)
  - federal, state or local human rights laws
  - Federal or state security laws
  - federal INS and Alienage laws
  - Sherman Act or other federal anti-trust laws
- \_\_\_\_\_ YES X NO

**Notes:**

Information on the following additional topics should also be submitted with this questionnaire. Check "none" if topic does not apply.

- (1) agency complaints or reports of contract deviation received within the past two years for contract performance issues arising out of a contract with any federal, state or local agency? X NONE
- (2) disputes within the past two years concerning your company's failure to provide commodities or services to political subdivisions within the past two years pursuant to centralized contracts with the New York State Office of General Services? X NONE
- (3) Employee Identification No., Social Security No., Name, DBA, trade name or abbreviation previously or currently used by your business which is different from that listed on your mailing list application form? X NONE

**Certification:**

The undersigned: recognizes that this questionnaire is submitted for the express purpose of assisting the State of New York or its agencies or political subdivisions to make a determination regarding either an application for placement on mailing lists or the status of an existing mailing list entry or to award a contract or approve a subcontract; acknowledges that the State or its agencies and political subdivisions may in its discretion, by means which it may choose, verify the truth and accuracy of all statements made herein; acknowledges that intentional submission of false or misleading information may constitute a felony under Penal Law Section 210.40 or a misdemeanor under Penal Law Section 210.35 or Section 210.45, and may also be punishable by a fine of up to \$10,000 or imprisonment of up to five years under 18 USC Section 1001; and states that the information submitted in this questionnaire and any attached pages is true, accurate, and complete.

LOEB & LOEB LLP

Name of Business

Scott Cotie

Signature of Officer

345 PARK AVE

Address

SCOTT COTIE

Typed Copy of Signature

NEW YORK NY 10154

City, State, Zip

CFO

Title

7-2-14

Date



# New York State Insurance Fund

Workers' Compensation & Disability Benefits Specialists Since 1914

199 CHURCH STREET, NEW YORK, N.Y. 10007-1100  
Phone: (212) 587-2149

## CERTIFICATE OF WORKERS' COMPENSATION INSURANCE

\*\*\*\*\* 951780806  
LOEB & LOEB LLP  
ATTN: PETE PATEL  
10100 SANTA MONICA BLVD SUITE 2200  
LOS ANGELES CA 900674164

### POLICYHOLDER

LOEB & LOEB LLP  
ATTN: PETE PATEL  
10100 SANTA MONICA BLVD SUITE 2200  
LOS ANGELES CA 900674164

### CERTIFICATE HOLDER

NYS SENATE, PURCHASING DEPT  
LEGISLATIVE OFFICE BLDG.  
SUITE 1530  
ALBANY NY 12247

POLICY NUMBER	CERTIFICATE NUMBER	PERIOD COVERED BY THIS CERTIFICATE	DATE
		04/01/2014 TO 04/01/2015	7/31/2014

THIS IS TO CERTIFY THAT THE POLICYHOLDER NAMED ABOVE IS INSURED WITH THE NEW YORK STATE INSURANCE FUND UNDER POLICY NO. 863 432-1 UNTIL 04/01/2015, COVERING THE ENTIRE OBLIGATION OF THIS POLICYHOLDER FOR WORKERS' COMPENSATION UNDER THE NEW YORK WORKERS' COMPENSATION LAW WITH RESPECT TO ALL OPERATIONS IN THE STATE OF NEW YORK, EXCEPT AS INDICATED BELOW.

IF SAID POLICY IS CANCELLED, OR CHANGED PRIOR TO 04/01/2015 IN SUCH MANNER AS TO AFFECT THIS CERTIFICATE, 30 DAYS WRITTEN NOTICE OF SUCH CANCELLATION WILL BE GIVEN TO THE CERTIFICATE HOLDER ABOVE. NOTICE BY REGULAR MAIL SO ADDRESSED SHALL BE SUFFICIENT COMPLIANCE WITH THIS PROVISION. THE NEW YORK STATE INSURANCE FUND DOES NOT ASSUME ANY LIABILITY IN THE EVENT OF FAILURE TO GIVE SUCH NOTICE.

THIS POLICY DOES NOT COVER THE SOLE PROPRIETOR, PARTNERS AND/OR MEMBERS OF A LIMITED LIABILITY COMPANY.

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS NOR INSURANCE COVERAGE UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICY.

NEW YORK STATE INSURANCE FUND

DIRECTOR, INSURANCE FUND UNDERWRITING

This certificate can be validated on our web site at <https://www.nysif.com/cert/certval.asp> or by calling (888) 875-5790  
VALIDATION NUMBER: 766429560

STATE OF NEW YORK  
WORKERS' COMPENSATION BOARD

**CERTIFICATE OF INSURANCE COVERAGE UNDER THE NYS DISABILITY BENEFITS LAW**

**PART 1. To be completed by Disability Benefits Carrier or Licensed Insurance Agent of that Carrier**

1a. Legal Name and Address of Insured (Use street address only) Loeb & Loeb LLP 10100 Santa Monica Blvd, Suite 2200 Los Angeles, CA 90067	1b. Business Telephone Number of Insured  1c. NYS Unemployment Insurance Employer Registration Number of Insured  1d. Federal Employer Identification Number of Insured or Social Security Number
2. Name and Address of the Entity Requesting Proof of Coverage (Entity Being Listed as the Certificate Holder) NYS Senate Purchasing Department Legislative Office Building, Suite 1530 Albany, New York 12247	3a. Name of Insurance Carrier The Prudential Insurance Company of America 3b. Policy Number of entity listed in box "1a":  3c. Policy effective period: 01/01/2014 to 12/31/2014

4. Policy covers:

- a. ☒ All of the employer's employees eligible under the New York Disability Benefits Law  
b. ☐ Only the following class or classes of the employer's employees:

Under penalty of perjury, I certify that I am an authorized representative or licensed agent of the insurance carrier referenced above and that the named insured has NYS Disability Benefits insurance coverage as described above.



Date Signed August 1, 2014 By \_\_\_\_\_

(Signature of insurance carrier's authorized representative or NYS Licensed Insurance Agent of that insurance carrier)

Telephone Number 973-548-5151

Title Statutory Disability Coordinator

**IMPORTANT:** If box "4a" is checked, and this form is signed by the insurance carrier's authorized representative or NYS Licensed Insurance Agent of that carrier, this certificate is COMPLETE. Mail it directly to the certificate holder.  
If box "4b" is checked, this certificate is NOT COMPLETE for purposes of Section 220, Subd. 8 of the Disability Benefits Law. It must be mailed for completion to the Workers' Compensation Board, DB Plans Acceptance Unit, 20 Park Street, Albany, New York 12207.

**PART 2. To be completed by NYS Workers' Compensation Board (Only if box "4b" of Part 1 has been checked)**

**State Of New York  
Workers' Compensation Board**

According to information maintained by the NYS Workers' Compensation Board, the above-named employer has complied with the NYS Disability Benefits Law with respect to all of his/her employees.

Date Signed \_\_\_\_\_

By \_\_\_\_\_  
(Signature of NYS Workers' Compensation Board Employee)

Telephone Number \_\_\_\_\_

Title \_\_\_\_\_

**Please Note:** Only insurance carriers licensed to write NYS disability benefits insurance policies and NYS licensed insurance agents of those insurance carriers are authorized to issue Form DB-120.1. Insurance brokers are NOT authorized to issue this form.

STATE OF NEW YORK  
OFFICE OF THE STATE COMPTROLLER  
Bureau of Contracts, Floor 11-1  
110 State Street  
Albany, New York 12236

## APPROVED DOCUMENT TRANSMITTAL

Date \_\_\_\_\_

Dept ID 4010200Contract No. C150038

Purchase Order No. \_\_\_\_\_

TO: Senate

- ☒ Enclosed is an approved contract. Refer to this contract number and Department ID in all correspondence.
- ☐ Enclosed is an approved Amendment No./Change Order No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_.
- ☐ Extension is approved to \_\_\_\_\_ Amount if applicable \$ \_\_\_\_\_.
- ☐ Enclosed is an approved purchase order. Refer to this purchase order number and Department ID in all correspondence.
- ☐ Enclosed is an approved purchase order change notice in the amount of \$ \_\_\_\_\_.

☐

KAA

STATE  
OF  
NEW YORK**CONTRACT ENCUMBRANCE REQUEST**☐ Amendment/  
Supplemental

Voucher Number: 77214E

SFS DEPARTMENT ID 4010200	BATCH NUMBER 77214E	AUDIT TYPE TBV	AP BUSINESS UNIT SEN01	NET AMOUNT \$0.00
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Originating Agency SENATE			Contract No. C150038	Sequence # 0
SFS Vendor ID 1100108490	Additional	Contractor Type X	Administering Agency SFS Dept ID 4010200	
Payee Name (Limit to 30 spaces) LOEB & LOEB LLP		Payee Name (Limit to 30 spaces)		
Payee Address (Limit to 30 spaces) 10100 SANTA MONICA BLVD		Payee Address (Limit to 30 spaces) SUITE 2200		
City (Limit to 20 spaces) LOS ANGELES		(Limit to 2 spaces)		State CA
				Zip Code 90067
Interest Eligible (Y/N)	IRS Code	Stat. Type	Indicator- Statewide	Indicator- Department
Contract Amount \$150,000.00		Contract Period (MM) (DD) (YY) (MM) (DD) (YY) 09/12/13 to 12/31/14		
Bid Date (MM) (DD) (YY) 09/12/13		Renewal/Amendment Beginning Date (MM)(DD) (YY)		
Description (Limit to 50 spaces) LEGAL SERVICES				
Description (Limit to 50 spaces)				
Provisions (Limit to 63 spaces)				

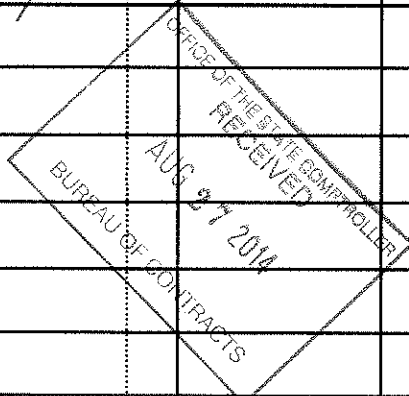
Preparer's Signature <i>Kevin P. Voller</i>	Preparer's Phone No. 455-3151
--	----------------------------------

Agency Finance Officer's Signature <i>David A. Natali</i>	Date 08/27/14
--	------------------

Audit Status	Category CA	Method of Award G	Audit Class (MM) (YY)	Project Code
Bids Solicited	Number Rejected	Declined	No Reply	Route Code

Date Received	Audit Group	Date Approved	Date Rejected	Auditor's Initials <i>KJA/32</i>
---------------	-------------	---------------	---------------	-------------------------------------

Line	Act	Intended Encumbrance Amount	COST CENTER CODE				Account
			Dept.	Cost Center Unit	Var.	Yr.	
		150,000.00					

☐ Check if continuation  
form is attached.